



#17
huf
7/17/01
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of)
AMOS YAHIL) FOR: SYSTEM AND METHOD FOR
Serial No.: 09/404,122) PREDICTION OF BEHAVIOR OF
Filed: SEPTEMBER 23, 1999) COMPLEX SYSTEMS
Group
Art Unit: 2761

REQUEST FOR REFUND UNDER 37 CFR 1.26 AND 1.28

Assistant Commissioner for Patents
Washington, D.C. 20231

Attention: Refund Section, Accounting Division
Office of Finance

Dear Sir:

Fees in the amount of \$760.00, which were based on large entity status, were submitted by applicant's attorney with the filing of subject application. Enclosed herewith for filing is a Verified Statement Claiming Small Entity Status as small business.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on:

NOVEMBER 23, 1999

(Mailing Date)

ELEANOR M. MUSICK

(Typed Name)

Eleanor M. Musick
(Signature)

NOVEMBER 23, 1999

(Date of Signature)

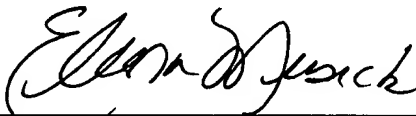
Refund
Completed
Sneftelgher
7/17/01
[REFJYAH199.K22]

In accordance with 37 CFR 1.28, this request for refund is being submitted within two months of the date of the timely payment of the full fee. Therefore, applicant respectfully requests a refund of \$380.00, which is one-half the fees paid. Please forward the refund to the firm address as below-indicated.

A duplicate copy of this document is transmitted herewith for accounting purposes.

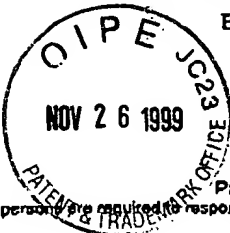
Respectfully submitted,

Dated: 23. Nov. 99

By: 
Eleanor M. Musick
Attorney for Applicant
Registration No. 35,623

BROWN, MARTIN, HALLER & McCLAIN
1660 Union Street
San Diego, California 92101
Telephone: (619) 238-0999
Facsimile: (619) 238-0062

Docket No.: 7684-PA01



Approved for use through 09/30/00. OMB 0651-0031
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27 (c)) — SMALL BUSINESS CONCERN

Dock # Number: 7684-PA01

Applicant, Patentee, or Identifier: AMOS YAHIL, et al.

Application or Patent No.: 09/404,122

Filed or Issued: SEPTEMBER 23, 1999

Title: SYSTEM AND METHOD FOR PREDICTION OF BEHAVIOR OF COMPLEX SYSTEMS

I hereby state that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN AMERSON PIXON

ADDRESS OF SMALL BUSINESS CONCERN 11 NIGHT HERON DRIVE, STONY BROOK, NY 11790-1107

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year, and (2) concerns are affiliates of each when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ No such person, concern, or organization exists.
☐ Each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b)).

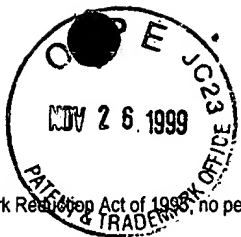
NAME OF PERSON SIGNING RICHARD PUETTER

TITLE OF PERSON IF OTHER THAN OWNER MANAGING DIRECTOR

ADDRESS OF PERSON SIGNING UNIVERSITY OF CALIFORNIA, SAN DIEGO: 9500 GILMAN DRIVE,
MC 0424, LA JOLLA, CALIFORNIA 92093

SIGNATURE R. Puetter

DATE 11/23/99



0300

PTO/SB/21 (6-98)
Approved for use through 9/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (To be used for all correspondence after initial filing)	Application Number	09/404,122	
	Filing Date	SEPTEMBER 23, 1999	
	First Named Inventor	AMOS YAHIL	
	Group Art Unit	2761	
	Examiner Name	UNKNOWN	
Total Number of Pages in This Submission	STX <i>Seven</i>	Attorney Docket Number	7684-PA01

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts Under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input checked="" type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communications to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div>RETURN POSTCARD</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
ATTORNEY NAME	ELEANOR M. MUSICK, ESQ. REG. NO. 35,623
FIRM	BROWN, MARTIN, HALLER & McCLAIN, LLP
SIGNATURE	<i>Eleanor Musick</i>
DATE	NOVEMBER 23, 1999

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <div>NOVEMBER 23, 1999</div>			
Typed or printed name	ELEANOR M. MUSICK		
Signature	<i>Eleanor Musick</i>	Date	NOVEMBER 23, 1999